

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

15866 U.S. PTO  
012704UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	2103175-991111
First Inventor	Liam Scanlan and Cory Bear
Title	EXTENSIBLE METHOD FOR OBTAINING A RECORD OF DATA BACKUP ACTIVITY (AND ERRORS) AND CONVERTING SAME INTO A CANONICAL FORMAT
Express Mail Label No.	EV 302277231 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)  
Applicant claims small entity status.  
See 37 CFR 1.27.
2. ☒ Specification [Total Pages 28]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
4. ☒ Oath or Declaration [Total Sheets       ]  
a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Application Data Sheet. See 37 CFR 1.76

6. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Reader Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ Paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1499 ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
16. ☒ Other: Check # 552760 for \$425.00;  
Express Mail Cert. EV302277231US;

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/665,270

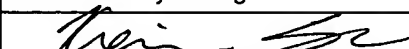
Prior application information:

Examiner Diane D. MizrahiArt Unit: 2175

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 26379 OR ☐ Correspondence address below

Name	Kieun "Jenny" Sung				
Address	Gray Cary Ware & Freidenrich LLP 2000 University Avenue				
City	East Palo Alto	State	California	Zip Code	94303
Country	United States	Telephone	650-833-2121	Fax	650-833-2001
Name (Print/Type)	Kieun "Jenny" Sung			Registration No. (Attorney/Agent)	48,639
Signature				Date	January 23, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2

American LegalNet, Inc.  
www.USCourtForms.com22278 U.S. PTO  
10765539

012704

**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 40.00**Complete if Known**

<b>Application Number</b>	09/665,270
<b>Filing Date</b>	September 19, 2000
<b>First Named Inventor</b>	Liam Scanlan
<b>Examiner Name</b>	Unknown
<b>Group Art Unit</b>	3661
<b>Attorney Docket No.</b>	2103175-991110

**METHOD OF PAYMENT**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

07-1896

Deposit  
Account  
Name

Gray Cary Ware &amp; Freidenrich

- ☒
- Charge Any additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

- ☒
- Check
- ☐
- Credit card
- ☐
- Money
- 
- Order
- ☐
- Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$) 0.00**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
-20** =	X		
Independent Claims	-3** =	X	
Multiple Dependent Claims	X		

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
				** Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2)** (\$) 0.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	11	0240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unavoidable	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stms	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 40.00**SUBMITTED BY**

Name (Print/Type)

Timothy W. Lohse

Signature

Timothy W. Lohse

Registration No.  
(Attorney/Agent)

35,255

**Complete (if applicable)**

Telephone

650-320-7426

Date

August 28, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SENT FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Please type a plus sign (+) inside this box



PTO/SB21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/665,270	
	Filing Date	September 19, 2000	
	First Named Inventor	Liam Scanlan	
	Group Art Unit	2171	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	7	Attorney Docket Number	2103175-991110

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment with Appendix A attached <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Associate Power of Attorney <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Recordation cover sheet (1 pg.); Assignment (3 pgs.); Fee Transmittal (1 pg.); Check # 487590 for \$40.00; Return postcard.
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	Timothy W. Lohse (Reg. No. 35,255) Gray Cary Ware Freidenrich
Signature	
Date	August 28, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: BOX Assignment, Assistant Commissioner for Patents, Washington, D.C. 20231 on this date

Typed or printed name	Cathy Pittman	Date	August 28, 2001
Signature			

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Liam Scanlan and Cory Bear

Serial No.: To Be Assigned

Group Art Unit: To Be Assigned

Filed: January 24, 2003

Examiner: To Be Assigned

Title: EXTENSIBLE METHOD FOR OBTAINING A RECORD OF DATA BACKUP  
ACTIVITY (AND ERRORS) AND CONVERTING SAME INTO A  
CANONICAL FORMAT

22278 U.S. PTO  
10/765539  
012704

EXPRESS MAIL NO.: EV 302277231 US

Date of Deposit January 26, 2004

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to MAIL STOP PATENT APPLICATION, Commissioner of Patents and Trademarks; P.O. Box 1450, Alexandria, VA 22313-1450.

  
Cathy Pittman

TRANSMITTAL OF CONTINUATION APPLICATION

MAIL STOP PATENT APPLICATION

Assistant Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir/Madam:

Applicant hereby respectfully submits the enclosed

☒ Continuation application under **37 CFR §1.53(b)**, of prior application Serial No. 09/665,270 ,  
filed on September 19, 2000.

☐ Divisional

entitled: PHONOLOGICAL AWARENESS, PHONOLOGICAL PROCESSING AND  
READING SKILL TRAINING SYSTEM AND METHOD

**1. Copy of Prior Application as Filed Which is Attached**

☒ The undersigned hereby verifies that the attached papers are a true copy of the above-  
identified prior application, including the oath or declaration originally filed (37 CFR 1.53(b)).

The copy of the papers of prior application as filed which are attached hereto are as follows:

☒ 24 pages of specification

☒ 3 pages of claims

☒ 1 page of abstract

☒ 2 sheet(s) of drawings  
☒ 7 pages of Assignment ;

**2. Amendments**

☒ A Preliminary Amendment accompanies this application.

**3. Inventorship Statement**

With respect to the prior copending U.S. application from which this application claims benefit under 35 U.S.C. 120, the inventor(s) in this application are:

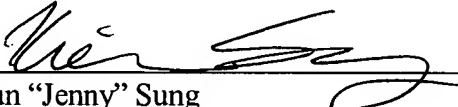
- ☒ the same;  
☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted;  
☐ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is being filed herewith.

**4. Assignment**

☒ The prior application is assigned of record to Bocada, Inc.

Respectfully submitted,

Dated: January 23, 2004

  
Kieun "Jenny" Sung  
Reg. No. 48,639  
Attorney for Assignee

GRAY CARY WARE & FREIDENRICH LLP  
2000 University Avenue  
East Palo Alto, CA 94303  
Telephone: (650) 833-2121

EV 302277231 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NUMBER: EV 302277231 US

DATE OF DEPOSIT: January 26, 2003

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:  
Mail Stop Patent Application, Commissioner for Patents; P.O. Box 1450, Alexandria, VA 22313-1450

  
Cathy Pittman

\* \* \*

CERTIFICATE OF MAILING BY EXPRESS MAIL

COMMISSIONER FOR PATENTS  
Mail Stop Patent Application  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is

:

INVENTOR(s): Liam Scanlan and Cory Bear

FOR: EXTENSIBLE METHOD FOR OBTAINING AN HISTORICAL  
RECORD OF DATA BACKUP ACTIVITY (AND ERRORS) AND  
CONVERTING SAME INTO A CANONICAL FORMAT

Enclosed are:

<u>No. Pgs.</u>	<u>Title of Document</u>
[ 1 ]	Utility Patent Application Transmittal;
[37]	Copy of prior application: Specification-28; Drawings-2; Assignment-7;
[ 2 ]	Transmittal of Continuation Application;
[ 2 ]	Preliminary Amendment;
[ 1 ]	Fee Transmittal FY 2004 (1 pg.)
[ 1 ]	Check No. <u>552700</u> for \$425.00;
[ 1 ]	Certificate of Express Mailing No. EV302277231 US; and
[ 1 ]	Return Postcard